

## PATENT COOPERATION TREATY

PCT

## NOTIFICATION OF ELECTION

(PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

Commissioner  
 US Department of Commerce  
 United States Patent and Trademark  
 Office, PCT  
 2011 South Clark Place Room  
 CP2/5C24  
 Arlington, VA 22202  
 ETATS-UNIS D'AMERIQUE  
 in its capacity as elected Office

Date of mailing (day/month/year) 02 April 2001 (02.04.01)	
International application No. PCT/IB00/00908	Applicant's or agent's file reference W/D/134
International filing date (day/month/year) 05 July 2000 (05.07.00)	Priority date (day/month/year) 05 July 1999 (05.07.99)
Applicant TAME, Gavin, Randall	

1. The designated Office is hereby notified of its election made:

☒ in the demand filed with the International Preliminary Examining Authority on:  
 05 February 2001 (05.02.01)

☐ in a notice effecting later election filed with the International Bureau on:  
 \_\_\_\_\_

2. The election ☒ was

☐ was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland Facsimile No.: (41-22) 740.14.35	Authorized officer Zakaria EL KHODARY Telephone No.: (41-22) 338.83.38
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# PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference <b>W/D/134</b>	<b>FOR FURTHER ACTION</b> see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.	
International application No. <b>PCT/IB 00/ 00908</b>	International filing date (day/month/year) <b>05/07/2000</b>	(Earliest) Priority Date (day/month/year) <b>05/07/1999</b>
Applicant  <b>DEXRAD (PROPRIETARY) LIMITED</b>		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 3 sheets.



It is also accompanied by a copy of each prior art document cited in this report.

### 1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.



the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing :



contained in the international application in written form.



filed together with the international application in computer readable form.



furnished subsequently to this Authority in written form.



furnished subsequently to this Authority in computer readable form.



the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.



the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

2. ☐ **Certain claims were found unsearchable** (See Box I).

3. ☐ **Unity of invention is lacking** (see Box II).

### 4. With regard to the **title**,



the text is approved as submitted by the applicant.



the text has been established by this Authority to read as follows:

### 5. With regard to the **abstract**,



the text is approved as submitted by the applicant.



the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

### 6. The figure of the **drawings** to be published with the abstract is Figure No.



as suggested by the applicant.



because the applicant failed to suggest a figure.



because this figure better characterizes the invention.

1



None of the figures.

## INTERNATIONAL SEARCH REPORT

International Application No

PC 00/00908

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 G07D7/00 G07F7/08

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 G07D G07F G03G G06F H04L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, PAJ

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 0 547 837 A (XEROX CORP) 23 June 1993 (1993-06-23) abstract column 1, line 14 - line 24 column 2, line 18 - line 30 column 5, line 23 - line 33	1-6, 12, 13, 15
Y	column 8, line 35 - column 10, line 54 ---	7, 16
Y	WO 95 23388 A (BLANCHESTER TOM ;NON STOP INFO AB (SE)) 31 August 1995 (1995-08-31) abstract ---	7, 16
A	US 5 270 773 A (SKLUT ROBERT L ET AL) 14 December 1993 (1993-12-14) abstract --- -/--	1



Further documents are listed in the continuation of box C.



Patent family members are listed in annex.

\* Special categories of cited documents:

\*A\* document defining the general state of the art which is not considered to be of particular relevance

\*E\* earlier document but published on or after the international filing date

\*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)

\*O\* document referring to an oral disclosure, use, exhibition or other means

\*P\* document published prior to the international filing date but later than the priority date claimed

\*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

\*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

\*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

\*&\* document member of the same patent family

Date of the actual completion of the international search

30 November 2000

Date of mailing of the international search report

08/12/2000

Name and mailing address of the ISA

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## INTERNATIONAL SEARCH REPORT

International Application No

PCT/JP99/00908

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US 5 022 080 A (DURST ROBERT T ET AL) 4 June 1991 (1991-06-04) column 2, line 40 -column 3, line 40 column 5, line 1 - line 12 -----	1
A	PATENT ABSTRACTS OF JAPAN vol. 1999, no. 04, 30 April 1999 (1999-04-30) & JP 11 003456 A (NIPPON TELEGR &AMP;TELEPH CORP &LT;NTT&GT;), 6 January 1999 (1999-01-06) abstract -----	7,16

# INTERNATIONAL SEARCH REPORT

Information on patent family members



International Application No

PCT/JP98/00908

Patent document cited in search report		Publication date	Patent family member(s)		Publication date
EP 0547837	A	23-06-1993	US	5157726 A	20-10-1992
			JP	6176036 A	24-06-1994
WO 9523388	A	31-08-1995	SE	502658 C	04-12-1995
			AU	1905395 A	11-09-1995
			SE	9400686 A	29-08-1995
			US	6141438 A	31-10-2000
US 5270773	A	14-12-1993	NONE		
US 5022080	A	04-06-1991	CA	2043533 A,C	01-12-1992
			JP	6014018 A	21-01-1994
			EP	0516898 A	09-12-1992
JP 11003456	A	06-01-1999	JP	2938832 B	25-08-1999

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT 14

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>PA129336/PCT</b>		<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)
International application No. <b>PCT/IB00/00908</b>	International filing date (day/month/year) <b>05/07/2000</b>	Priority date (day/month/year) <b>05/07/1999</b>
International Patent Classification (IPC) or national classification and IPC <b>G07D7/00</b>		
Applicant <b>DEXRAD (PROPRIETARY) LIMITED</b>		
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 7 sheets, including this cover sheet.</p> <p><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of sheets.</p>		
<p>3. This report contains indications relating to the following items:</p> <p>I <input checked="" type="checkbox"/> Basis of the report</p> <p>II <input type="checkbox"/> Priority</p> <p>III <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</p> <p>IV <input type="checkbox"/> Lack of unity of invention</p> <p>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</p> <p>VI <input type="checkbox"/> Certain documents cited</p> <p>VII <input checked="" type="checkbox"/> Certain defects in the international application</p> <p>VIII <input checked="" type="checkbox"/> Certain observations on the international application</p>		
Date of submission of the demand <b>05/02/2001</b>		Date of completion of this report <b>12.09.2001</b>
Name and mailing address of the international preliminary examining authority:  European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465		Authorized officer  <b>van der Haegen, D</b>  Telephone No. +49 89 2399 2683 

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/IB00/00908

## I. Basis of the report

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

**Description, pages:**

1-19 as originally filed

**Claims, No.:**

1-18 as originally filed

**Drawings, sheets:**

1/1 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/IB00/00908

☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Yes: Claims 3-4, 6-10, 14, 16-18
	No: Claims 1-2, 5, 11-13, 15
Inventive step (IS)	Yes: Claims
	No: Claims 1-18
Industrial applicability (IA)	Yes: Claims 1-18
	No: Claims

2. Citations and explanations  
**see separate sheet**

**VII. Certain defects in the international application**

The following defects in the form or contents of the international application have been noted:  
**see separate sheet**

**VIII. Certain observations on the international application**

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:  
**see separate sheet**



**Re Item V**

**Reasoned statement under Article 35(2) PCT with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

**1. Reference is made to the following documents :**

- D1: EP-A-0 547 837 (XEROX CORP) 23 June 1993,
- D2: WO 95 23388 A (NON STOP INFO AB) 31 August 1995,
- D3: US-A-5 270 773 (SKLUT ROBERT L ET AL) 14 December 1993,
- D4: US-A-5 022 080 (DURST (ROBERT T ET AL) 4 June 1991 and
- D5: PATENT ABSTRACTS OF JAPAN vol. 1999, no. 04, 30 April 1999 & JP 11 003456 A (NIPPON TELEGR & AMP; TELEPH CORP & LT; NTT & GT), 6 January 1999.

**2. Article 33(2) PCT**

**2.1 Document D1 is regarded as being the closest prior art to the subject-matter of independent claims 1, 12 and 16, and insofar as these claims can be understood (see Section VIII), this document shows the following features thereof :**

- a) a method of generating a document (cf. column 2, lines 12-42; column 5, line 4 - column 6, line 4) comprising the steps of :
  - permitting access to a document creation system by an authorised user (cf. figure 2, reference sign 30; column 2, lines 25-30; column 5, lines 34-46),
  - recording user data identifying the user (cf. figure 3, reference signs 52 and 62; column 5, lines 34-46),
  - generating document data defining a document (cf. figure 3, reference signs 54 and 56),
  - generating verification data from the user data and the document data (cf. column 5, lines 29-33 and lines 51-54) and
  - printing the document utilising the document data and the verification data, so that the document includes a machine readable portion usable to verify the authenticity thereof (cf. column 2, lines 18-24; column 5, lines 54-58;

figure 2, reference signs 35 and 36),

b) a method of verifying the authenticity of a document generated by the above described method (cf. column 2, lines 43-53; column 6, lines 5-35) and including the steps of :

- reading verification data from the document,
- retrieving authentication data corresponding to the verification data,
- comparing the verification data with the authentication data and
- indicating that the document is authentic if the compared data matches and

c) a system for generating documents (cf. column 3, lines 1-16; column 7, line 3- column 8, line 5) comprising :

- a document creation station operable by a user to input document data and to generate printed documents based on the document data (cf. figure 3, reference signs 20 and 35),
- access control means arranged to generate user data corresponding to an authorised user (cf. figure 3, reference signs 51 and 52) and
- processor means for generating verification data derived from the document data and the user data, the verification data being applied to the printed document (cf. figure 3, reference signs 56, 57, 60, 62 and 64).

2.2 The subject-matter of claims 1 and 12 does not differ from the disclosures made in D1. The subject-matter of claims 1 and 12 is therefore not novel.

2.3 The features introduced by the subject-matter of claims 2, 5, 11, 13 and 15 are known from document D1 and do not, therefore, add matter to claim 1 resp. 12 that renders them novel :

- for claim 2, see D1, eg. figure 3, reference signs 51 and 52; column 7, lines 14-18,
- for claim 5, see D1, eg. figure 2, reference sign 30,
- for claim 11, see D1, eg. figure 3, reference sign 62 and
- for claims 13 and 15, see D1, eg. column 6, lines 5-35.

**3. Article 33(3) PCT**

- 3.1 The subject-matter of independent claim 16 differs from D1 in that the system for generating documents comprises a database for storing an authentication record corresponding to verification data for use in the authentication of a document.

The problem underlying claim 16 may therefore be regarded as to make the verification data available for reporting, accounting and other tasks.

However, said distinguishing feature has already been employed for the same purpose in a similar system, see either document D2, page 11, lines 28-32 or document D4, column 4, lines 63-68. It would be obvious to the person skilled in the art, namely when the same result is to be achieved, to apply these features with corresponding effect to a system according to document D1, thereby arriving at a system according to claim 16. The subject-matter of independent claim 16 does therefore not involve an inventive step.

- 3.2 The features introduced by the subject-matter of dependent claims 3-4, 6-10, 14 and 17-18 are a matter of normal design and/or fall in the scope of customary practice followed by the skilled person. They do not, therefore, add matter to independent claim 1, 12 or 16 that involves an inventive step :

- claims 3, 4 and 6, are a matter of normal design in access control,
- for claims 7 and 9, see eg. D2, page 11, lines 28-32,
- claims 8 and 10 are merely one of several straightforward possibilities from which the skilled person would select, in accordance with circumstances, without the exercise of inventive skill, in order to solve the problem underlying claims 8 and 10,
- for claim 14, see eg. D2, page 11, lines 28-32,
- for claim 17, see eg. D1, column 6, lines 5-35 and
- for claim 18, see eg. D2, figures 1 and 3.

**4. Article 33(4) PCT**

Claims 1-18 are industrial applicable.

**Re Item VII**

**Certain defects in the international application**

1. Contrary to the requirements of Rule 5.1(a)(ii) PCT, the relevant background art disclosed in the document D1 is not mentioned in the description, nor is this document identified therein.
2. Independent claims 1, 12 and 16 are not in the two-part form in accordance with Rule 6.3(b) PCT.
3. The features of the claims are not provided with reference signs placed in parentheses (Rule 6.2(b) PCT).

**Re Item VIII**

**Certain observations on the international application**

1. It is clear from the description (cf. page 2; page 8, 2nd paragraph) that the following feature is essential to the definition of the invention : "recording authenticating data corresponding to the verification data". Since independent claim 1 does not contain this feature, it does not meet the requirement following from Article 6 PCT taken in combination with Rule 6.3(b) PCT that any independent claim must contain all the technical features essential to the definition of the invention.
2. Independent claim 16 is not consistent with the description and with claim 1. Claim 16 does not, therefore, meet the requirements of Article 6 PCT. In view of the description and claim 1 it appears that :
  - a) "(...) to input document data (...)" should be "to generate document data" and
  - b) "(...) to generate user data (...)" should be "to record user data".
3. A lack of unity (Rule 13 PCT) may arise once the objections under Article 33(2) and (3) PCT are overcome. The following two groups of claims are envisaged :
  - 1) claims 1-11, 16-18 and
  - 2) claims 12-15.